

**Amendments to the Claims:**

This listing of claims will replace all prior versions, and listings of claims in the application:

**Listing of Claims:**

Claim 1. (currently amended) A computer system for tracking client securities advice interactions between a client and a broker, the computer system comprising:

- a server computer;
- a database stored on the server computer;
- at least one client computer connected to the server computer via a computer network; and
- an advice documentation program executable by the client computer, wherein the advice documentation program comprises computer instructions for:
  - creating a record of a customer interaction responsive to a user input;
  - selecting a category of the customer interaction responsive to the customer record;

and

- collecting information about the customer interaction based on the category of the customer interaction,
- wherein the database stores historical records of customer interactions.

Claim 2. (currently amended) The computer system of claim 1, wherein the advice documentation program further comprises computer instructions for creating a suitability record for a customer, the suitability record including fields directed to at least one of the following: account holder client suitability, prospect suitability, or organization suitability.

Claim 3. (original) The computer system of claim 1, wherein the advice documentation program further comprises computer instructions for creating an assessment record for a customer.

Claim 4. (original) The computer system of claim 1, further comprising an advice tracking program executable by the client computer, wherein the advice tracking program comprises computer instructions for:

- selecting customer interaction records stored in the database; and
- reviewing the selected customer interaction records.

Claim 5. (original) The computer system of claim 4, wherein the selected customer interaction records are reviewed to monitor compliance with trading regulations.

Claim 6. (original) The computer system of claim 4, wherein the advice tracking program further comprises computer instructions for:

- searching the customer interaction records stored in the database according to one or more parameters; and
- presenting the customer interaction records that satisfy the search parameters.

Claim 7. (canceled).

Claim 8. (original) A method of tracking client advice interactions, the method comprising:

- creating a record of a customer interaction;
- selecting a type of the customer interaction; and
- collecting information about the customer interaction based on the type of the customer interaction.

Claim 9. (original) The method of claim 8, further comprising creating a suitability record for a customer.

Claim 10. (original) The method of claim 8, further comprising creating an assessment record for a customer.

Claim 11. (original) The method of claim 8, further comprising:  
selecting customer interaction records stored in the database; and  
reviewing the selected customer interaction records.

Claim 12. (original) The method of claim 11, wherein the selected customer interaction records are reviewed to monitor compliance with trading regulations.

Claim 13. (original) The method of claim 11, further comprising:  
searching the customer interaction records stored in a database according to one or more parameters; and  
presenting the customer interaction records that satisfy the search parameters.

Claim 14. (original) The method of claim 13, wherein the database stores historical records of customer interactions.

Claim 15. (original) A computer-readable storage medium storing an advice documentation program executable by a client computer, wherein the advice documentation program comprises computer instructions for:  
creating a record of a customer interaction;  
selecting a type of the customer interaction; and  
collecting information about the customer interaction based on the type of the customer interaction.

Claim 16. (original) The computer-readable storage medium of claim 15, wherein the advice documentation program further comprises computer instructions for creating a suitability record for a customer.

Claim 17. (original) The computer-readable storage medium of claim 15, wherein the advice documentation program further comprises computer instructions for creating an assessment record for a customer.

Claim 18. (original) The computer-readable storage medium of claim 15, further storing an advice tracking program executable by the client computer, wherein the advice tracking program comprises computer instructions for:

- selecting customer interaction records stored in a database; and
- reviewing the selected customer interaction records.

Claim 19. (original) The computer-readable storage medium of claim 18, wherein the selected customer interaction records are reviewed to monitor compliance with trading regulations.

Claim 20. (original) The computer-readable storage medium of claim 18, wherein the advice tracking program further comprises computer instructions for:

- searching the customer interaction records stored in the database according to one or more parameters; and
- presenting the customer interaction records that satisfy the search parameters.

Claim 21. (original) The computer-readable storage medium of claim 20, wherein the database stores historical records of customer interactions.